

Compliance Center of Excellence - 2023

Who We Are: The IOT Compliance Center of Excellence (CCoE) is a four-member team tasked with supporting IOT teams and state agencies through rigorous audit and compliance needs. To date, the CCoE supports agencies that are subject to audits from the Centers for Medicare and Medicaid Services (CMS), the Internal Revenue Service (IRS), and the Social Security Administration (SSA).

Our Mission: To provide expert organization and audit preparedness planning services so that internal IOT teams and agency partners efficiently and successfully respond to audits.

Department: IOT Security → IOT GRC&R → Compliance Center of Excellence

Manager: Heidi Davis

Formed: July 2019

What We Do:

Strategy	Assist IOT teams and agency partners with audit preparation, discovery, and resource allocation, as well as guide IOT teams and agency partners through the audit process, after-actions, and remediation processes.
Service Portfolio	Currently provided via MOU to agencies. Exploring rate structure for inclusion in the IOT services catalog.
Business RM	Develop and manage CCoE staff members. Manage IOT risk register. Complete regular Nessus scans and structured compliance activities. Coordinate with IOT Vulnerability Manager, Enterprise Resiliency, IOT Governance, executive leadership, and operational teams to support compliance-adjacent initiatives and programs.

Our Products:

Compliance scanning, audit preparation documentation, audit findings remediation planning, project management, compliance management, risk management (via the risk register and heat map).

Our Tools:

Tenable/Nessus
Teams and O365 products
Recorded Future
Adobe Acrobat Pro
Microsoft Power BI and Visio

Our Metrics: Audit requirements (CMS, IRS, SSA, FBI), NIST and CIS Frameworks

Our Customers: State agencies (~100) that use any of the 130 products or services provided by IOT that are subject to CMS, IRS, SSA, and FBI audits.

Our Budget: \$200,000

Major Accomplishments:

- Successful completion of IRS Triennial Audit
- Successful completion of CMS year 3 audit

Current Projects:

- SSA 2023 audit preparation
- Development of CCoE Standards Guide
- Vulnerability and Risk Management program collaboration and development
- Development of CCoE rate structure and services catalog inclusion